

# DRAFT

## Case Closure Matrix 8/28/00

Federal Reg or Local Practice	Impact on Families	Comply Fed Regs?	Impact on Incentives	Impact on Automation	Impact on Staffing	Impact on Training	Impact on Facilities	Recommended Practice
(b)(1) No current support order and under \$500 arrearages or unenforceable under state law	Family stands to lose up to \$499 in non-TANF cases; State stands to lose up to \$250 in TANF cases	Yes	Minimal	Minimal	Minimal	Moderate	None	<i>Mandatory:</i> 1. Close if no payments received within the last three years. 2. Close if unenforceable under state law and no payments received within the last three years.
<i>Divergent Local Practice (DLP): Counties do not routinely close cases which fall under these criteria unless all resources exhausted</i>	<i>Family stands to collect up to \$499 in non-TANF cases; State stands to collect up to \$250 in TANF cases</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Minimal</i>	<i>Minimal</i>	None	<i>Mandatory:</i> 1. Close if no payments received within the last three years. 2. Close if unenforceable under state law and no payments received within the last three years.
(b)(2) NCP deceased and no potential action against estate	None	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory:</i> 1. Verify the NCP's death (e.g., with a death certificate, notice in paper, SSA death files, DMV, etc.). 2. Verify that there is no potential estate (e.g., local probate search, credit report, property search, contact with CP, etc.). 3. Send standard closing letter to CP re options for collecting death benefits for the minor child(ren). 4. Close the case after doing the above.
<i>DLP: None</i>								

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(b)(3)(I) Paternity cannot be established because child is 18 and action is barred by S/L	None	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: Close the case.</i>
<i>DLP: None</i>								
(b)(3)(ii) Paternity cannot be established because putative father has been excluded and no other prospect is identifiable	None, if diligent efforts have been made	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: 1. If CP is located: One year after signing attestation, establish contact with CP, which could be at time of IV-A renewal, and advise CP that the case will be closed unless the CP can give additional information to help identify the NCP. 2. If CP cannot be located: Case must remain open for three years.</i>
<i>DLP: Counties vary in their diligent efforts to identify another putative father</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	None	

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(b)(3)(iii) It is not in the best interest of the child to establish paternity in a case involving incest or rape, or where adoption proceedings are pending	No negative impact	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory:</i> 1. If CP alleges rape (exclusive of statutory rape) or incest, she should be referred to IV-A agency. If good cause is not claimed, or is denied, the case remains open. 2. If adoption proceedings are verified, close the case.
<i>DLP: None</i>								
(b)(3)(iv) Identity of biodad is unknown and unascertainable even after diligent efforts, including at least one interview with CP	None, if diligent efforts have been made	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory:</i> 1. One year after signing attestation, establish contact with CP, which could be at time of IV-A renewal, and advise CP that the case will be closed unless the CP can give additional information to help identify the NCP. 2. CP must be given information on how to reopen case, if new information becomes available.
<i>DLP: Counties vary in their diligent efforts to identify biodad</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	None	

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(b)(4)(i) Unable to locate NCP after diligent efforts by the State for three years, if there is sufficient information to initiate automated locate (e.g., name and SSN)	High	Yes	High	Minimal	Moderate	Moderate	None	<i>Mandatory:</i> 1. Close the case after diligent efforts have been made. 2. Diligent efforts should include periodic Locate efforts (e.g. quarterly) utilizing: (1) private locate tools (e.g., Choice Point, Equifax, Lexus/Nexus, Merlin), (2) state tools (e.g., DMV, CPLS, CLETS, ParoleLEADS, MEDS), (3) Local tools (e.g. internet, voter registration), (4) additional resources (e.g., union letters, wage verification, Postmaster, property information, Secretary of State, Board of Equalization, Dept. of Consumer Affairs). 3. Each file must be reviewed manually before closure. 4. Closed cases should be referred to State Only Locate and Enforcement Program (SOLEP).
<i>DLP: Some counties close; others vary in their diligent efforts</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	High	Minimal	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	None	

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(b)(4)(ii) Unable to locate NCP after diligent efforts by the state over a one-year period when there is not sufficient information to initiate an automated Locate effort	Very High	Yes	Moderate	High	High	High	Moderate	<i>Mandatory:</i> Define "name" as a first and last name, at a minimum. Diligent efforts shall include, at a minimum: 1. Contact the CP at least once during the one-year period to ask for information that might identify and locate the NCP 2. Make every reasonable effort to obtain the SSN of the NCP, using all appropriate sources, such as the DOJ, DMV, credit reporting agencies, and FPLS to assist in identifying missing or incomplete SSNs. 3. Close the case, if the above steps have been futile.
<i>DLP: N/A</i>								
(b)(5) NCP cannot pay during duration of child's minority due to institutionalization or incarceration (no parole) or permanent disability and no assets are available	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory:</i> Close the case.
<i>DLP: None</i>								

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(b)(6) NCP is a citizen of and lives in a foreign country; does not work for the Feds or for a US company; no assets, and no reciprocity	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: Close the case.</i>
<i>DLP: None</i>								
(b)(7) Locate only	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: Close the case after performing the Locate</i>
<i>DLP: None</i>								
(b)(8) Non-welfare CP requests closure and no TANF arrears	None	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: Close the case.</i>
<i>DLP: None</i>								
(b)(9) Good cause	None	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory: Close the case.</i>
<i>DLP: None</i>								

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(b)(10) Non-TANF case and IV-D agency unable to locate CP within 60 days	High	Yes	High	Moderate to High	Moderate to High	Moderate to High	None	<p><i>Mandatory:</i></p> <p>1. In the event of undistributed collections, diligent efforts should include locate efforts (e.g., quarterly, for a minimum of six months) utilizing, at a minimum: CPLS, Credit Bureau Header Check, DMV, MEDS and Postmaster.</p> <p>2. In the event of loss of contact and there are no undistributed collections, diligent efforts should include, at a minimum, DMV, MEDS, and Postmaster.</p> <p>(Minority opinion suggests an additional attempt through the DMV, MEDS and Postmaster at the end of the 60 days.)</p> <p>3. Cases must be manually reviewed before being closed.</p>
DLP: County practices vary	High, if diligent efforts have not been made; Low, if they have been made	Yes	Minimal	Minimal	Moderate to High, depending on levels of efforts	Moderate to High, depending on levels of efforts	None	

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(b)(11) Non-TANF CP not cooperating in next essential step	Moderate	Yes	Minimal	Minimal	Minimal	Minimal	None	<p><i>Mandatory:</i></p> <p><i>1. Non-cooperation includes: Failure to provide essential information to take next case action; continued practice of taking direct payments after a minimum of one warning; failure to attend hearings; refusal to sign forms; refusal to report private attorney actions.</i></p> <p><i>2. Before closing for any of the above infractions, the infraction(s) must be documented and the CP must have received a minimum of one warning. We recommend that a procedure be put in place to allow the CP access to a fair hearing (if Case Closure qualifies for fair hearing), an ombudsman, or some other complaint resolution process, if the case is going to be closed under this regulation.</i></p> <p><i>3. Close the case.</i></p>
DLP: None								

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(b)(12) Initiating state doesn't cooperate	High	Yes	Minimal	Minimal	Minimal	Minimal	None	<i>Mandatory:</i> 1. If initiating state does not respond within 30 days, send out a second request. 2. If there is no response at the end of a second 30 days, send out a 60-day closure notice. 3. At the time the closing notice is sent out, contact the initiating state's Central Registry for assistance. 4. Close the case.
<i>DLP: None</i>								
(c) Sixty-day notice	None	Yes	None	None	None	None	None	<i>Mandatory:</i> Follow federal regulations Close the case.
<i>DLP: None</i>								
(d) Agency must keep records of closed cases for three years	None	Yes	None	None	None	None	None	<i>Mandatory:</i> Records should be electronically archived indefinitely.
<i>DLP: Counties maintain records for 4+ years</i>	None	Yes	None	None	None	None	None	

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MPP 12-302.1(l) (State Regulation) Reimbursement-only cases may be closed if all the following circumstances exist: (1) aid has terminated, (2) NCP is located, (3) NCP refuses to stipulate to reimbursement, and (4) court-ordered reimbursement cannot reasonably be expected to exceed \$1,000.		N/A	Minimal	None	Minimal	Minimal	None	<i>Mandatory: Close the case</i>

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The CP has moved to another county or state, and: 1. CP has applied for IV-D services in the other county or state; and 2. Contact was made with the other county or state IV-D agency to confirm that the CP has applied for services; or, to confirm that the support order and arrearages have been transferred.	None	Yes	Moderate	Minimal	Moderate	Moderate	None	Mandatory: Close interstate cases. Intrastate cases: no recommendations pending DCT procedure revisions.